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PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032  
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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	103.1019.10
First Inventor	Hitz
Title	File Access Control in a Multi-Protocol File Server
Express Mail Label No.	EL734815865US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☐ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification  
(preferred arrangement set forth below) [Total Pages **39**]
  - Descriptive title of the Invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **1**]
5. Oath or Declaration [Total Pages **8**]
  - a. ☐ Newly executed (original or copy)
  - b. ☒ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
    - i. ☐ DELETION OF INVENTOR(S)  
signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR 1.63(d)(2)  
and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76
7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) statement (when there is an assignee) ☒ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form Pto/SB/35  
or its equivalent.
17. ☒ Other Technical Appendix; Certificate of Mailing

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

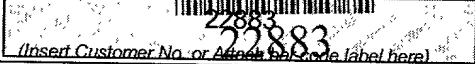
of prior application No: **09/035,234**

Prior application information: Examiner **Nadeem, Iqbal**

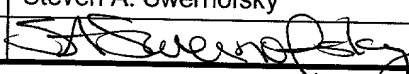
Group/Art Unit: **2184**

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 18. CORRESPONDENCE ADDRESS

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Name (Print/type)	Steven A. Swernofsky	Registration No. (Attorney/Agent)	33,040
Signature		Date	8/10/01

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PATENT TRADEMARK OFFICE

Attorney Docket 103.1019.10

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Express Mailing Label No.: EL734815865USDate of Deposit: 8-10-01Signature: *Arllette Malhas*Arllette Malhas, Paralegal

Printed Name: \_\_\_\_\_

**This application includes the following items:**

Utility Patent Application Transmittal SB/05

- 2 Page(s) Application Data Sheet
- 13 Preliminary Amendment
- 2 Page(s) Application Data Sheet
- 32 Page(s) of Specification
- 6 Page(s) of Claims
- 1 Page(s) of Abstract
- 1 Sheet(s) of Drawings
- 8 Page(s) Declaration(s)
- 1 Page(s) Power of Attorney
- 6 Page(s) Technical Appendix + Cover Page
- 11 Page(s) Assignment(s) with Recordation Cover Sheet

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